

# **FileSurf v7.50**

## **by MDY Advanced Technologies, Inc.**

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### **FileSurf Summary Report**

The Joint Interoperability Test Command (JITC) tested MDY Advanced Technologies, Inc.'s FileSurf v7.50, a stand-alone records management application (RMA) at the MDY Advanced Technologies, Inc.'s facility in Fair Lawn, NJ from 20 through 31 January 2003. The implementation was verified using version 6.8 of the Test Procedures and was compliant with DoD 5015.2-STD, dated June 2002. Follow-on testing conducted at Sierra Suites in Sierra Vista, Arizona, from 24 through 27 March 2003 resulted in the compliance verification of FileSurf's integration with Novell's GroupWise e-mail product.

JITC conducted a follow-on test on July 22 and 23, 2003, which resulted in compliance verification of FileSurf v7.5's integration with:

- KVS, Inc.'s Enterprise Vault v4.0 and EMC Corporation's EMC Centera v2.0
- KVS, Inc.'s Enterprise Vault v4.0.

JITC conducted another follow-on test on September 16 and 17, 2003, which resulted in compliance verification of FileSurf v7.5's integration with:

- Network Appliance, Inc.'s NetApp Filer with Decru DataFort
- Network Appliance, Inc.'s NetApp NearStore with Decru DataFort
- Network Appliance, Inc.'s NetApp Filer with Decru DataFort and KVS, Inc.'s Enterprise Vault 4.0
- Network Appliance, Inc.'s NetApp NearStore with Decru DataFort and KVS, Inc.'s Enterprise Vault 4.0

All mandatory requirements were satisfied.

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## **1. Product Identification**

FileSurf v7.50, hereafter referred to as FileSurf, is a stand-alone RMA.

The FileSurf software package, as tested, consisted of the following component programs and utilities:

- FileSurf Administrator
- FileSurf Web Administrator
- FileSurf Desktop Client
- FileSurf Web Client

## **2. Test Configuration**

The baseline test configuration consisted of:

- One server running the Microsoft (MS) Windows 2000 Server (SP3) operating system (OS), MS SQL Server 2000 (SP2), and MS Exchange 2000.
- One server running the MS Windows 2000 Server (SP3) OS and IIS 5.0.
- One server running the MS Windows 2000 Server (SP3) OS and Lotus Notes Mail 5.08
- One client PC running MS Windows 2000 Professional (SP3). Installed software included MS Office 2000 (SP2), MS Outlook 2000, Lotus Notes Mail 5.10, Internet Explorer 6.0, FileSurf Administrator, and FileSurf Desktop Client.
- One client PC running MS Windows NT 4.0 Workstation (SP6a). Installed software included MS Office 2000 (SP2), MS Outlook 2000, Lotus Notes Mail 5.10, Internet Explorer 5.5, FileSurf Administrator, and FileSurf Desktop Client.
- One client PC running MS Windows XP. Installed software included MS Office XP, MS Outlook 2002, Lotus Notes Mail 5.10, Internet Explorer 5.5, FileSurf Administrator, and FileSurf Desktop Client.

In a subsequent configuration, JITC repeated the certification test using the Oracle 9i database.

## **3. RMA Mandatory Requirements**

### **3.1 *Managing Records [C2.1.1.]***

FileSurf manages electronic, non-electronic, and e-mail records. It stores electronic records in its repository and maintains them in their original, native file format. Users maintain records stored on other media, such as paper, diskette, or tape by adding metadata through the user interface.

### **3.2 *Accommodating Dates and Date Logic [C2.1.2.]***

FileSurf stores and displays dates using a 4-digit year format, and recognizes leap years including the year 2000. The product accepts user input of valid dates from current, previous, and future centuries.

### **3.3 *Implementing Standard Data [C2.1.3.]***

FileSurf provides the capability to implement standard data. Records managers create data entry templates. They can create pick lists for user-defined fields to assist the user in filling out the templates.

FileSurf can be configured with all the data elements as defined in DoD 5015.2-STD. The records manager can also configure FileSurf with additional fields for custom use. Custom fields are created in

the FileSurf Desktop Administrator and added to the data entry templates using the FileSurf Web Administrator. Administrators can constrain the selection lists presented to users by using filters to partition access.

### **3.4      *Backward Compatibility [C2.1.4.]***

This is the first test for this product against version two of DoD 5015.2-STD<sup>1</sup>, therefore test data was not available to verify backwards compatibility.

### **3.5      *Accessibility [C2.1.5.]***

MDY provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as Appendix C in the detailed test report.

### **3.6      *Implementing File Plans [C2.2.1.]***

FileSurf provides the required capabilities for creating and maintaining disposition instructions and file plans. Disposition instructions are created separately and assigned to record plan components when creating the file plan categories. Subcomponents under that level inherit the same disposition instruction unless another disposition instruction is specified for that lower level component.

Access to the associated FileSurf functions is granted/restricted through the assignment of privilege types to users. FileSurf provides support for multiple levels of file plan access. During the test "privileged" users were able to create and manage folders.

### **3.7      *Scheduling Records [C2.2.2.]***

FileSurf automatically tracks the disposition schedules for screening and disposition processing. Records managers reschedule files by assigning a different disposition instruction to the file or altering the retention period (which reschedules all records associated with that schedule).

### **3.8      *Declaring and Filing Records [C2.2.3.]***

FileSurf includes two user interfaces for filing records. Typical users file records directly into the FileSurf repository using the FileSurf web interface. They click on the "Add New" hyperlink, select a file code, complete the record metadata, and navigate through the file system to select an electronic file to upload.

Users can also use the Microsoft Office integration to file records to FileSurf from within MS Word, Excel, or Power Point.

Privileged users and records managers with access to the FileSurf Desktop Client can file paper and electronic records directly into the FileSurf repository by using the Insert menu.

At the time of filing, FileSurf assigns a unique record identifier and a date/time stamp to each record. The date/time stamp serves as the required Date Filed profile field. Users cannot modify either field.

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<sup>1</sup> Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

### **3.9      *Filing E-mail Messages [C2.2.4.]***

FileSurf provides the capability to file e-mail messages from MS Outlook, Lotus Notes Mail, and Novell GroupWise. FileSurf automatically captures message transmission and receipt data to populate the Author/Originator, Addressee(s), Publication Date, and Subject record profile fields.

When filing e-mail that has an attachment(s), FileSurf gives the user the following options:

- **E-mail Only.** Stores the e-mail and attachments as a single record. Users can save attachments to their hard drives and file them separately as any other electronic record if desired.
- **E-mail and Each Attachment as a Record.** Stores the e-mail only (which does not include the attachments) and, in addition, stores each attachment separately in its native file format.

FileSurf also allows users to file e-mail upon sending, if desired.

### **3.10     *Storing Records [C2.2.5.]***

FileSurf uses the server's NT File System (NTFS) for storing and preserving electronic records. The permissions assigned at the file, folder and document levels determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

File plan and document profile data are stored separately from the actual records in a relational database. MS SQL Server 2000 and Oracle 9i provided the databases during the compliance tests.

When combined with one of the following:

- EMC Centera and Enterprise Vault
- Enterprise Vault
- NetApp Filer with Decru DataFort
- NetApp NearStore with Decru DataFort
- NetApp Filer with Decru DataFort and Enterprise Vault
- NetApp NearStore with Decru DataFort and Enterprise Vault

FileSurf users would be able to file and retrieve electronic records from the repository installed at their facility. Each product combination functioned as required during transfer and destruction processes.

### **3.11     *Screening Records [C2.2.6.1.]***

Records managers perform screening functions using the Disposition Processing template available from the Browse menu. From here, they design queries for information relating to folders or records that are qualified for disposition, including cutoff, transfer, accession, or destruction. Records managers can enter a future date to identify candidates for disposition for planning purposes.

### **3.12     *Closing Record Folders [C2.2.6.2.]***

FileSurf offers records managers and privileged users the ability to close folders by assigning edit privileges to folders. Privileged users can only close folders in the record categories to which they have been assigned folder management privileges.

### **3.13    *Cutting Off Record Folders [C2.2.6.3.]***

To cut off record folders, records managers use the Disposition Processing template to search for folders due for Cutoff. A list of folders matching the criteria will display. Records managers select the folder(s) they wish to perform cutoff on and press the "Execute" button. By cutting off the folder, all records within that folder are cut off as well.

### **3.14    *Freezing/Unfreezing Records [C2.2.6.4.]***

FileSurf provides the capability to freeze and unfreeze records at all levels of the file plan. If a record series is frozen, all folders and documents in that series do not qualify for disposition. Additionally, the record profiles cannot be modified until the hold is released.

### **3.15    *Transferring Records [C2.2.6.5.]***

To transfer records, records managers use the Disposition Processing template to identify folders and/or records due for transfer or accession (referred to as Permanent Storage in FileSurf). In both cases, the records are removed from the repository; however, records managers can choose to retain the metadata of the transferred records by checking the appropriate box before executing the transfer. Additionally, records managers have the option of creating a backup of the records and their metadata by checking the appropriate box and specifying a directory. The extracted metadata is in text format.

### **3.16    *Destroying Records [C2.2.6.6.]***

To destroy records, the records manager uses the Disposition Processing template to search for folders and/or records due for destruction, selects them, and verifies that they should be destroyed. FileSurf then deletes the records from the repository and database.

Records cannot be reconstructed once they have been deleted.

### **3.17    *Cycling Vital Records [C2.2.6.7.]***

FileSurf provides the ability to gather records based on cycling dates and to do updates of cycle dates after records have been reviewed. During the test, MDY attached logic to the folder vital record review date fields that sent email to a specified records manager when the folders were due for vital records review.

### **3.18    *Searching for and Retrieving Records [C2.2.6.8.]***

FileSurf provides the required capability for searching for and retrieving records. Users can enter multiple values in search fields to perform nested searches. FileSurf allows users to export copies of the records to their hard drives.

### **3.19    *Access Controls [C2.2.7.]***

Records managers assign FileSurf functional access to files, folders and/or documents at the user and/or group level. Permissions are set at the record category or folder level to assign file and/or search and retrieve access to users/groups.

FileSurf supports multiple-user access. During much of the certification test, two users worked simultaneously performing various functions including filing system maintenance, record filing, record retrieval, reporting, and disposition activities.

### **3.20    *System Audits [C2.2.8.]***

Administrators determine what events to log for FileSurf items by accessing the Actions tab from the Audits template in the FileSurf Desktop Client. Examples of audited events include insert, modify, delete, assign security, and update.

FileSurf collects the audit metadata specified in the Standard, however, it does not collect sufficient data to adequately reconstruct a user's attempt at unauthorized access.

### **3.21    *System Management Requirements [C2.2.9.]***

Operating systems (MS Windows 2000 Server) and database management systems (SQL 2000, Oracle 9i) provided the required system management capabilities.

## **4.       *Non-Mandatory Features Demonstrated***

### **4.1       *Interfaces to Other Software Applications [C3.2.3.]***

FileSurf integrates with MS Office applications. Users can right click on any MS Word, Excel, or Power Point document and file it directly to the FileSurf repository. Alternatively, users can also file MS Office documents to FileSurf from within the application by clicking on the FileSurf menu located on the Office toolbar.

### **4.2       *Retrieval Assistance Capability [C3.2.9.]***

FileSurf has advanced searching tools for folders and documents, including full text searching capability.

### **4.3       *Internal Viewer Capability [C3.2.14.]***

FileSurf uses INSO viewers to view documents from within FileSurf. The Inso Viewer has the capability to view over 250 different document types. FileSurf can be configured to open records in their native application, or in the INSO viewer.

### **4.4       *Web Capability [C3.2.15.]***

The FileSurf Web Client allows users to file and search/retrieve records via a web browser. Users add new paper, electronic, or imaged records to the FileSurf repository and enter metadata to describe the records. Full searching capabilities are also available in the FileSurf Web Client, allowing users to view a record, view the metadata, or download a copy of a record to their workstations. Typical users requiring only file and search/retrieve capabilities can use the FileSurf Web Client exclusively.